

Mperi Chilume

Nomination standing for elections

Annexure D1

CURRICULUM VITAE

MPERI AMUTJILANI CHILUME

PERSONAL DETAILS

EDUCATIONAL QUALIFICATIONS

Year	School/Institution	Qualification
Dec 2021	International Federation of Compliance Associations	International Certified Compliance Professional (ICCP)
Nov 2021	Compliance Institute Southern Africa	Compliance Practitioner designation (CPrac)
Aug 2009- May 2013	University Of Botswana	Bachelor of Business Administration (marketing)
2004-2008	St Patrick's College (CBC) South Africa	National Senior Certificate. Matric
2003	Mophato Primary School (Francistown)	Primary School Leaving Examination (PSLE)

Member of the Compliance Institute of Southern Africa, membership number CM2021029974

Chairman of the Botswana Investment Professionals Society Regulatory Sub - Committee
January 2021 - to date

WORK EXPERIENCE

SENIOR COMPLIANCE OFFICER/ANTI-MONEY LAUNDERING REPORTING OFFICER (DECEMBER 2021 - TO DATE)

ALLAN GRAY(BOTSWANA) (PTY) LTD, ALLAN GRAY NAMIBIA (PTY) LTD AND ALLAN GRAY NAMIBIA UNIT TRUSTS (PTY) LTD

PRINCIPAL ACCOUNTABILITIES

To design and implement a compliance programme for legislation that impacts the Allan Gray Botswana and Namibia entities. To maintain the entire legislative universe of legislation that impacts the entities in the region. To consult, analyze, help implement and provide second line function in line with the Group Compliance Framework.

- Maintain regulatory universe.
- Monitor relevant legislation, internal rules and policies impacting the business, including wider legislative, regulatory, company and industry standards, and pro-actively assist the business in implementing new and/or amended regulatory requirements.

- Ensure the effective implementation of the compliance monitoring programme and undertake all aspects of monitoring activities, including drafting, maintaining and enhancing Compliance Monitoring Plans.
- Prepare compliance reports to regulators, management and various committees.
- Track instances of non-compliance with respective business unit managers until resolved.
- Draft and implement anti money laundering policies and processes. Ensuring the timeous reporting of suspicious transactions to regulator(s).
- Interact with regulators, industry bodies and other external stakeholders.
- Review training programmes to ensure that it is in compliance with regulatory obligations.
- FATCA.
- Actively participate in consultative and lobbying structures regarding legislative and regulatory developments.
- Cultivate constructive relationships that result in the Business proactively seeking Compliance involvement.
- Work cross jurisdictionally in respect of other entities in the group when required; and
- Assist with general ad hoc projects.
- Report directly to the Board on any compliance breaches monitored throughout the business

**COMPLIANCE OFFICER/ANTI-MONEY LAUNDERING REPORTING OFFICER
(SEPTEMBER 2019 – NOVEMBER 2021)**

ALLAN GRAY(BOTSWANA) (PTY) LTD

PRINCIPAL ACCOUNTABILITIES

To design and implement a compliance programme for legislation that impacts the Allan Gray Botswana entities. To maintain the entire legislative universe of legislation that impacts the entities in the region. To consult, analyze, help implement and provide second line function in line with the Group Compliance Framework.

- Maintain regulatory universe.
- Monitor relevant legislation, internal rules and policies impacting the business, including wider legislative, regulatory, company and industry standards, and pro-actively assist the business in implementing new and/or amended regulatory requirements.
- Ensure the effective implementation of the compliance monitoring programme and undertake all aspects of monitoring activities, including drafting, maintaining and enhancing Compliance Monitoring Plans.
- Prepare compliance reports to regulators, management and various committees.
- Track instances of non-compliance with respective business unit managers until resolved.
- Draft and implement anti money laundering policies and processes. Ensuring the timeous reporting of suspicious transactions to regulator(s).
- Interact with regulators, industry bodies and other external stakeholders.
- Review training programmes to ensure that it is in compliance with regulatory obligations.
- FATCA.
- Actively participate in consultative and lobbying structures regarding legislative and regulatory developments.
- Cultivate constructive relationships that result in the Business proactively seeking Compliance involvement.
- Work cross jurisdictionally in respect of other entities in the group when required; and
- Assist with general ad hoc projects.
- Report directly to the Board on any compliance breaches monitored throughout the business

ASSOCIATE DIRECTOR COMPLIANCE (APRIL 2018 – AUGUST 2019)

STANDARD CHARTERED BANK BOTSWANA LIMITED

PRINCIPAL ACCOUNTABILITIES

- As Associate Director Compliance, make a significant contribution to the direction of the function in Botswana. Drive strategies and achievements in Botswana.
- Promote, lead and manage the culture and practice of Compliance within regulatory requirements and ethical standards consistent with supporting the Group's strategic direction and growth aspirations in Botswana.
- To assist management procure that the Bank operates to high standards of conduct and meet all regulatory requirements for and on behalf of the Bank.
- Establish and maintain frameworks within Botswana to ensure compliance with applicable banking regulations, internal policies, procedures and codes so as to protect the reputation of the Group with its regulators and balance the needs of other stakeholders.
- Identify, mitigate, monitor, manage and escalate, as appropriate, regulatory (including financial crime) risks in Botswana working with the Business Compliance teams. Assist the Head of Compliance to provide a single interface for the CEO in Botswana for all Compliance issues.

Maintain close and open relationships with the regulators in Botswana

Strategy

- Ensure that there is adequate support (people, processes, tools, frameworks, systems) in the Botswana Regulatory Compliance team to support sustainable business growth and address Compliance risks.
- Ensure to senior management that Standard Chartered Bank's operations in Botswana are in line with regulatory expectations and Group requirements.

Business

- Ensure that key changes (to laws, rules, and regulations) are communicated and cascaded in Botswana, in coordination with group communications.
- Support relevant stakeholders to make decisions based on current and possible future policies, practices, and trends.
- Keep track of application of local regulatory expectations, laws, best practices and policies related to Compliance.

Processes

- Keep up to date and recommend for approval by the relevant Risk Committee, appropriate policies/processes/DOL's to address financial crime risks, aligning with relevant regulatory requirements.
- Providing governance and oversight over the implementation of Compliance- related policies and procedures in Botswana to ensure compliance with such policies and procedures.
- Set control standards and provide advice on the development of appropriate controls for the mitigation of regulatory risks.

Risk Management

- Drive practices for proactively identifying regulatory risks in Botswana and devise a Compliance plan to mitigate these and to prevent the occurrence of regulatory breaches
- Ensure appropriate and effective risk based monitoring is conducted by Compliance in Botswana.

- Drive the migration of best practice and lessons learned in Botswana, especially in relation to compliance with banking and financial services regulation and internal policies and procedures.
- Collaborate with Business Compliance in relation to risk identification and mitigation.
- Ensure that residual risks remain within acceptable risk levels by identifying material risks, maintaining an effective control environment and accepting or rejecting levels of residual risk in line with operational risk procedures.
- Ensure a full understanding of the risk and control environment in area of responsibility.
- Drive the development and maintenance of good relationships with internal and external business stakeholders at appropriate levels ensuring an open and co-operative environment throughout Botswana
- Assist the Head of compliance to oversee the implementation of Group Compliance policies and procedures through appropriate training and communication and, where necessary, recommend appropriate Compliance policies and procedures for approval by relevant committees.

Governance

- Responsible for assessing the effectiveness of the firm's arrangements to deliver effective governance, oversight and controls in the business and, if necessary, oversee changes in these areas
- Awareness and understanding of the regulatory framework in which the firm operates, and the regulatory requirements and expectations relevant to the role

Regulatory & Business Conduct

- Assist the Head of Compliance to drive proactive regulatory engagement and ensure an effective Regulatory Relationship Plan is in place in Botswana.
- Develop and embed best practices around regulatory inspections.
- Participate in local regulatory reform agendas, including identifying and escalating regulatory reform proposals early, through participation in industry forums and membership of local Government Relations and Regulatory Reform Forums (or equivalents) and feeding into Business Compliance.
- Ensure the Bank is properly prepared for, routine regulatory exams, audits and supervisory inspections, as well as to managing the response from the business.

COUNTRY COMPLIANCE ASSOCIATE (JANUARY 2017- MARCH 2018)

STANDARD CHARTERED BANK BOTSWANA LIMITED

PRINCIPAL ACCOUNTABILITIES

Assist Head of Compliance promote, lead and manage the culture and practice of Compliance within regulatory requirements and ethical standards consistent with supporting the country's strategic direction and growth aspirations in SCB Botswana.

Support the Head of Compliance establish and maintain frameworks within SCB Botswana to ensure compliance with applicable banking regulations, internal policies, procedures and codes so as to protect the reputation of the bank with its regulators and balance the needs of other stakeholders.

To identify, mitigate, monitor and manage regulatory risks across SCB Botswana.

Support the Head of Compliance to ensure the effectiveness of the Group's management of Compliance and Regulatory Risk issues by taking Country level responsibility and leadership for:

Compliance & Regulatory Risk

- To maintain close and open relationships with the regulators in Botswana

- Support the Head of Compliance oversee the implementation of local regulation, Group Compliance policies and procedures through appropriate training and communication and, where necessary, recommend appropriate Compliance policies and procedures for approval by relevant committees. Support implementation of Business Compliance policies and procedures.
- Ensure effective management of compliance matters across SCB Botswana working closely with the business in country. Assume active involvement in problem-solving and crisis management over critical regulatory issues that have an impact on the Bank's business/operations in Botswana.
- In the event of serious regulatory breaches, or where risk tolerances have been breached, responsible for ensuring Group and Regional Compliance Management are informed and that actions are taken quickly to remediate and/or activities are ceased.
- Assist the Head of Compliance to ensure appropriate and effective risk based monitoring is conducted by Compliance across SCB Botswana.
- Supports the Head of Compliance to provide reports to Exco and to Group on key regulatory risks.
- Advise the Head of Compliance on material Compliance issues as required and provide support to the Head of Compliance on material compliance and regulatory risk issues to ensure they establish and conduct in accordance with internal policies.
- Drive the institutionalization of regulatory relationships across SCB Botswana and work with the Head of Compliance to ensure effective Regulatory Relationship Plans are in place.
- Promote the migration of best practice and lessons learned across SCB Botswana.
- Ensure proactive and timely monitoring, identification, dissemination and advice of regulatory developments, changes and practices and associated risks
- Establish and maintain effective processes, including training, advice and support, to ensure that compliance policies, procedures and standards are effectively implemented in-country
- Support the Head of Compliance in preparation of regulator's inspection to SCB by attending to information requests, pre-inspection questionnaires and enquiries during the regulator's inspection
- Work effectively and proactively with the teams of other support function to manage all country compliance risks
- Raise awareness of and address compliance risks and issues by providing the businesses with business specific training on regulations and compliance policies

ASSISTANT ANALYST- INVESTMENT INSTITUTIONS (JULY 2014- DECEMBER 2016)

NON-BANK FINANCIAL INSTITUTIONS REGULATORY AUTHORITY

PRINCIPAL ACCOUNTABILITIES
<ul style="list-style-type: none"> • Processes licensing applications from asset managers, fund managers, trustees, custodians and investment advisors institutions as directed by the supervisor and makes recommendations on appropriate action to the supervisor; • Conducts on-site inspections and investigations as directed by the supervisor and recommends appropriate action to the supervisor; • Handles queries and consumer complaints and recommends courses of action to the supervisor; • Carries out basic analyses of returns and reports as directed by the supervisor; • Participates in industry meetings and public education programs, and attends relevant seminars or conferences for capacity building purposes; and • Undertakes such other related duties as directed by the supervisor. • Analysis of Investment Institutions including asset managers, collective investment undertakings, investment advisors, trustees and custodians.

**GRADUATE TRAINEE - RETIREMENT FUNDS (NOVEMBER 2013-JUNE 2014) NON-BANK
FINANCIAL INSTITUTIONS REGULATORY AUTHORITY**

PRINCIPAL ACCOUNTABILITIES

- Processes licensing applications from Pension funds as directed by the supervisor and makes recommendations on appropriate action to the supervisor
- Handles queries and consumer complaints and recommends courses of action to the supervisor
- Carries out basic analyses of returns and reports as directed by the supervisor
- Participates in industry meetings and public education programs, and attends relevant seminars or conferences for capacity building purposes
- Undertakes such other related duties as directed by the supervisor

COURSES & TRAININGS ATTENDED

Institution	Course content	Place	Date
Selekane Asset Consultants	Investment training: asset class building blocks, fixed income, alternative investments, asset allocation, investment vehicle selection, investment structure, monitoring investment strategy and security analysis.	In House, NBFIRA	March 31-April 1, 2016
ASISA Academy	Introduction to Collective Investment Schemes.	Cape Town, South Africa	June 10-16, 2016
Capital Markets Authority Kenya	Regulatory benchmarking exercise.	Nairobi, Kenya	March 23-27, 2015
Securities Exchange Board of India	Risk management, corporate governance, mutual funds, depository operations, insider trading and derivatives.	Botswana Stock Exchange	February 2-10, 2015
Maripe Attorneys	Administering penalties in terms of financial services laws.	Cresta Hotel, Gaborone	October 14, 2014
Academy of Financial Markets	Financial Indicators and the financial markets; Equities	In House, NBFIRA	February 10-21, 2014
Professor John Kiggundu	Company's Act Training	Lansmore Hotel	November 13, 2014
Bank of Botswana	Training Workshop on the Application of the Revised International Convergence of Capital Measurements and Capital Standards for Botswana (Basel II)	Bank of Botswana Offices	10 -11 July 2017
Phineas Moloto (ESAAMLG coordinator)	Training on AML/CTF in non bank financial institutions	Paddock Conference centre	29-31 May 2018
Botswana Stock Exchange	Equity Listings Requirements workshop/ training	BSE Offices	7-8 June 2018

OTHER SKILLS

- Microsoft Office (Access, PowerPoint, Word Excel);
- Good team player;
- Good leadership skills;
- Able to work under minimum supervision;
- Fluent in both written and spoken English and Setswana;
- Excellent written and verbal communication;
- Strong negotiation skills;
- Excellent report writing skills;
- Good problem solving skills;
- Able to converse with people of different ages;
- I am competent, assertive, self-aware, tolerant, embrace team work and can manage stress; and
- Well knowledgeable in brand management, advertising, tourism and hospitality management, business to business marketing, sales management, services marketing, distribution management, international marketing, integrated marketing communications, relationship marketing management, contemporary issues in marketing, analysis of financial statements, good understanding of Acts, Regulations and Rules.
- A strong understanding of the regulatory environment in Botswana
- Strong analytical skills.
- Good judgment enabling the provision of sound advice in difficult areas of law, regulation and practice and the proactive management of compliance and regulatory risk.
- Personal authority, integrity and ethics.
- Inquisitive and proactive approach to practices, procedures and specific transactions
- Sharp business acumen, including the ability to assess risk.
-

HOBBIES

- Agriculture
 - Reading
 - Socializing
 - Networking
-